

Docket: 1211 DIV

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: James F. McGuckin, Jr., et al  
Serial No: To Be Assigned  
(Div of 09/877,639) Examiner: Thanh  
Filed: Herewith Group Art Unit: 3764  
For: **VASCULAR DEVICE FOR VALVE LEAFLET APPPOSITION**

Commissioner For Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

In accordance with Applicant's duty of disclosure under 37 C.F.R §1.56, Applicants submit the enclosed PTO 1449 for the Examiner's consideration.

It is respectfully requested that the reference(s) listed on Form PTO-1449 be considered during Examination of the above-identified application and made of record therein. This submission is believed to be in compliance with 37 C.F.R. §1.97 and 37 C.F.R. §1.98. Copies of the references previously cited by or submitted to the Patent and Trademark Office in parent application serial no. 09/877,639, filed June 8, 2001, are not provided herein pursuant to MPEP Section 609.

The citation of the listed item(s) is not a representation that it constitutes a complete or exhaustive listing of prior art or that it constitutes prior art. The item(s) listed is/are submitted in good faith, but is/are not intended to substitute for the Examiner's search. It is hoped, however, that in addition to apprising the Examiner, it will assist the Examiner in identifying fields of search and in making as full and complete a search as possible.

The filing of this information disclosure statement is not an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

☒ This information disclosure statement is being filed within three (3) months of the filing date of this application.

☐ This information disclosure statement is being filed within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application.

☒ To the best of Applicant(s) knowledge, this information disclosure statement is being filed before the date of mailing of a first Office Action in connection with this case.

☐ Enclosed is a certificate under 37 C.F.R. §1.97 (e)(i).

☐ Enclosed is a petition under 37 C.F.R. §1.97 (d)

☐ Please charge the petition fee of \$130.00 required under 37 C.F.R. §1.17 (i)(1) to Deposit Account No. 501567

☐ As set forth in 37 C.F.R. §1.97 (c), to the best of Applicant(s) knowledge, this information disclosure statement is being filed before either the mailing of a final action under 37 C.F.R. §1.113 or the mailing of a notice of allowance under 37 C.F.R. §1.113, and is accompanied by the \$240.00 fee as provided for in 37 C.F.R. §1.17(p).

☐ Please charge the \$240.00 fee required by 37 C.F.R. §1.17(p) to Deposit Account No. 501567.

☒ Please charge any deficiency as well as any other fee(s) which may become due under 37 C.F.R. §1.16 and/or 37 C.F.R. §1.17 at any time during the pendency of this application, or credit any overpayment of such fee(s) to Deposit Account 501567. Also, in the event any extensions of time for responding are required for the pending application(s), please treat this paper as a petition to extend time as required and charge Deposit Account No. 501567 therefor. **TWO COPIES OF THIS SHEET ARE ENCLOSED.**

Early and favorable consideration of the case is respectfully requested.

Dated: 1/27/04



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Neil D. Gershon  
Registration No. 32,225  
Attorney for the Applicants

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Stamford, CT. 06905

Form PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO.  1211 DIV	SERIAL NO.  To Be Assigned (DIV of 09/877,639)
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use several sheets if necessary)		
APPLICANT James F. McGuckin, Jr., et al		
FILING DATE Herewith		GROUP Art Unit: Unknown

## U.S. PATENT DOCUMENT

XAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5 1 4 7 3 8 9	09/15/92	Lane			
	5 3 5 0 3 9 8	09/27/94	Pavenik, et al			
	5 3 5 8 5 1 8	10/25/94	Camilli			
	5 3 7 5 6 1 2	12/27/94	Cottenceau, et al			
	5 3 9 5 3 9 0	03/07/95	Simon, et al			
	5 5 0 0 0 1 4	03/19/96	Quijano, et al			
	5 5 4 5 2 1 0	08/13/96	Hess, et al			
	5 5 9 1 1 9 7	01/07/97	Orth, et al			
	5 5 9 3 4 1 7	01/14/97	Rhodes			
	5 6 0 9 5 9 8	03/11/97	Laufer, et al			
	5 6 7 4 2 7 9	10/07/97	Wright, et al			

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
WO	9 7 4 0 7 5 5	11/06/97	PCT				
WO	9 8 1 9 6 2 9	05/14/98	PCT				
WO	9 9 5 6 6 5 5	11/11/99	PCT				
DE 1	9 8 5 7 8 8 7	07/08/00	Germany				
WO	0 1 2 8 4 5 9	04/26/01	PCT				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER

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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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	5 7 4 6 7 6 6	05/05/98	Edoga			
	5 7 9 2 1 5 5	08/11/98	Van Cleef			
	5 8 0 0 5 2 6	09/01/98	Anderson, et al			
	5 8 1 0 8 4 7	09/22/98	Laufer, et al			
	5 8 5 5 6 0 1	01/05/99	Bessler, et al			
	5 8 8 5 2 5 8	03/23/99	Sachdeva, et al			
	5 9 0 2 3 1 7	05/11/99	Kleshinski, et al			
	5 9 5 7 9 4 9	09/28/99	Leonhardt, et al			
	6 0 1 4 5 8 9	01/11/00	Farley, et al			
	6 0 3 3 3 9 8	03/07/00	Farley, et al			
	6 0 3 6 6 8 7	03/14/00	Laufer, et al			

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		6	0	4	2	6	0	6	03/28/00	Frantzen		
		6	0	7	1	2	7	7	06/06/00	Farley, et al		
		6	0	8	0	1	6	0	06/27/00	Chen, et al		
		6	0	8	6	6	1	0	07/11/00	Duerig, et al		
		6	1	2	9	7	5	8	10/10/00	Love		
		6	1	3	6	0	2	5	10/24/00	Barbut, et al		
		6	1	3	9	5	3	6	10/31/00	Mikus, et al		
		6	1	4	9	6	6	0	11/21/00	Laufer, et al		
		6	1	7	9	8	7	8	01/30/01	Duerig, et al		
		6	2	2	4	6	2	6	05/01/01	Steinke		
		6	2	3	1	5	6	1	05/15/01	Frazier, et al		

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	5 8 5 5 6 0 1	01/05/99	Bessler, et al			
	6 1 6 2 2 4 5	12/19/00	Jayaraman			
	6 2 0 0 3 3 6	03/13/01	Pavenik, et al			
	6 2 5 8 1 1 8	07/10/01	Baum, et al			
	6 2 8 7 3 3 9	09/11/01	Vazquez, et al			
	6 2 9 0 7 2 1	09/18/01	Heath			
	6 2 9 9 6 3 7	10/09/01	Shaolian, et al			
	2001 0 0 0 5 7 8 7	06/28/01	Oz, et al			

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		5 3 9 7 3 5 5	03/1995	Marin, et al			
		5 4 4 3 5 0 0	08/1995	Sigwart, Ulrich			
		5 8 2 7 3 2 2	10/1998	Williams, Michael			
		6 0 0 4 3 4 7	12/1999	McNamara, et al			
		6 0 0 4 3 4 8	12/1999	Banas, et al			
		6 0 2 7 5 2 5	02/2000	Suh, et al			
		6 1 1 3 6 1 2	09/2000	Swanson, et al			
		6 2 5 4 5 6 4	07/2001	Wilk, et al			
		6 2 9 9 6 3 6	10/2001	Schmitt, et al			
		6 4 2 5 9 1 5	07/2002	Khosravi, et al			
		6 5 0 3 2 7 2	01/2003	Duerig, et al			
		6 5 1 1 4 9 1	01/2003	Grudem, et al			

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